



## DoD's SBIR & STTR Programs

**2008 Idaho Regional SBIR/STTR Conference**

**29 October 2008**



## DoD's SBIR & STTR Programs

**Advancing  
Technology Development  
for the Military and the Nation**

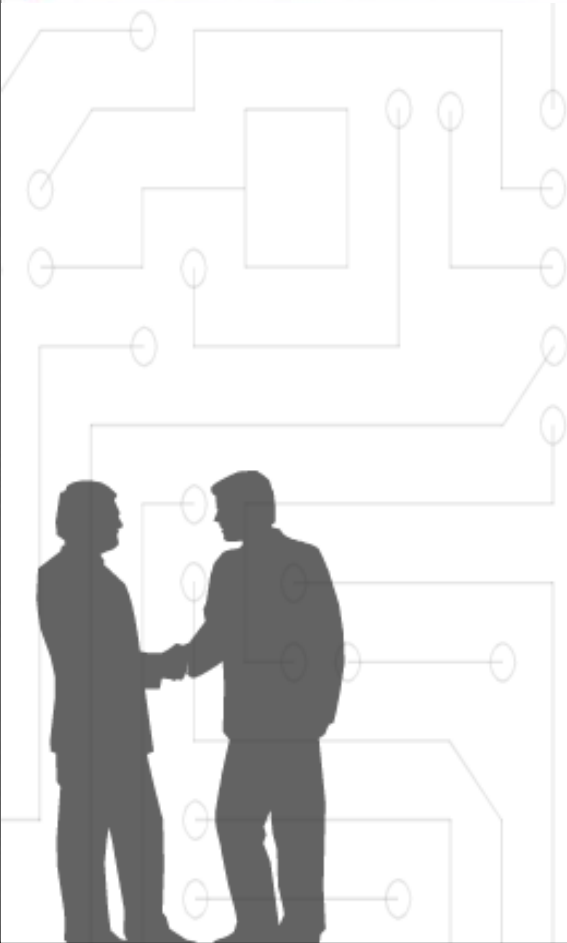


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## What is SBIR?

The **Small Business Innovation Research** program funds R&D at small businesses and is designed to:

- Stimulate technological innovation
- Increase private sector commercialization of federal R&D
- Increase small business participation in federally funded R&D
- Foster participation by minority and disadvantaged firms in technological innovation





## SBIR Qualification

- **Small Business of 500 or fewer employees**
- **Principal Investigator must spend more than 1/2 of time employed by the proposing firm**
- **During Phase I, a minimum of 2/3 effort must be performed by the proposing firm**
- **During Phase II, a minimum of 1/2 of the effort must be performed by the proposing firm**
- **Work must be performed in the United States**







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## What is STTR?



The **Small Business Technology Transfer Program** funds cooperative R&D between small businesses and research institutions and is designed to:

- Create vehicles for moving ideas from research institutions to market
- Enable researchers to pursue commercial application of technologies
- Bridge funding gap between basic research and commercial product



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## STTR Qualification

- Small business of 500 or fewer employees; no size limit on research institution
- Research institution is a FFRDC, college or university, or non-profit research institution
- Small business must perform a minimum of 40% of the work; research institution a minimum of 30%
- Small business must manage and control the STTR funding agreement
- Principal Investigator may be at the small business or research institution
- Work must be performed in the United States





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# Three Phased Programs

## SBIR

## STTR

### Phase I

Project feasibility

6 months up to \$100,000

12 months up to \$100,000

### Phase II

Project development  
to prototype

2 years up to \$750,000

2 years up to \$750,000

### Phase III

Commercialization

Commercialize, with non-SBIR/non-STTR funds, the  
technology in military and/or private sector markets



CALENDAR



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## SBIR is the Largest Source of Early-Stage Technology Financing in the U.S.

### Total Federal SBIR/STTR Funding

- \$2.315 billion in FY06/FY07

#### 11 participating Federal Agencies

- DoD • EPA • DoC • DoED
- NASA • DoE • NSF • HHS/NIH
- DoT • DHS • USDA

DoD accounts for **HALF** the program:

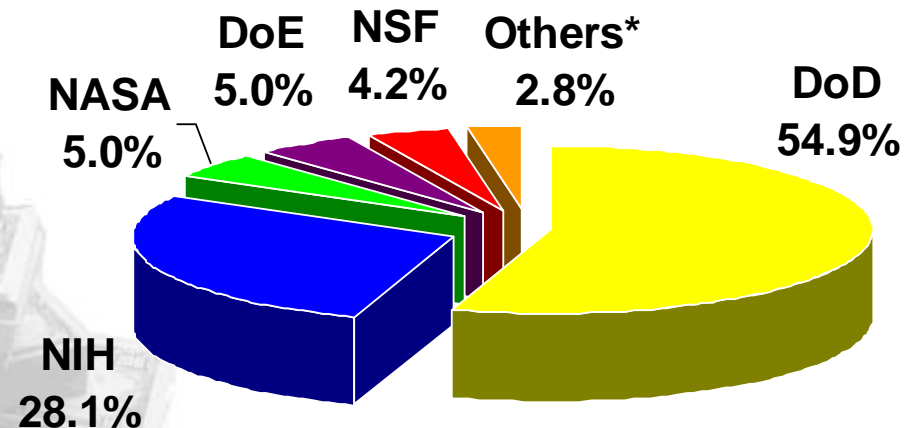
#### DoD SBIR Funding:

- \$1.14 billion in FY07

#### DoD STTR Funding:

- \$131 million in FY07

### SBIR/STTR Agency Funding



\*Others includes: DoT, EPA, DHS, DoC, USDA, DoED





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## DoD FY08 SBIR/STTR Programs

### SBIR

- \$1.14 Billion budget
- 12 participating components

Army	23.7%	SOCOM	0.8%
Navy	23.0%	DTRA	0.6%
Air Force	28.9%	CBD	1.1%
DARPA	5.8%	NGA	0.04%
MDA	10.7%	DLA	0.2%
OSD	5.1%	DMEA	0.1%

### STTR

- \$132 Million budget
- 6 participating components

Army	24.6%
Navy	23.9%
Air Force	30.3%
DARPA	6.1%
MDA	11.1%
OSD	4.0%



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## Why Participate in SBIR/STTR?

- **Up to \$850,000 of seed capital**
- **Develop working relationship & credibility with government R&D programs**
- **Data rights remain with the firm**

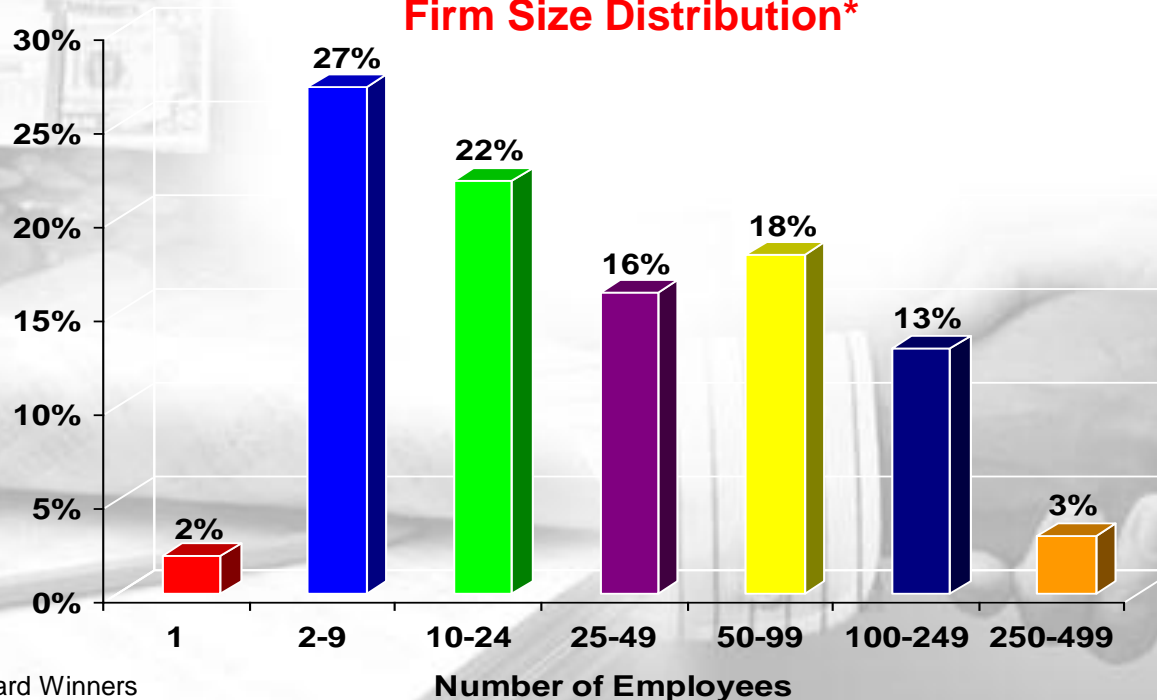


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## Who Participates in SBIR/STTR?

- Small hi-tech firms from across the country
- Firms are typically small & are new to the program

**Firm Size Distribution\***



\*FY07 Phase I Award Winners

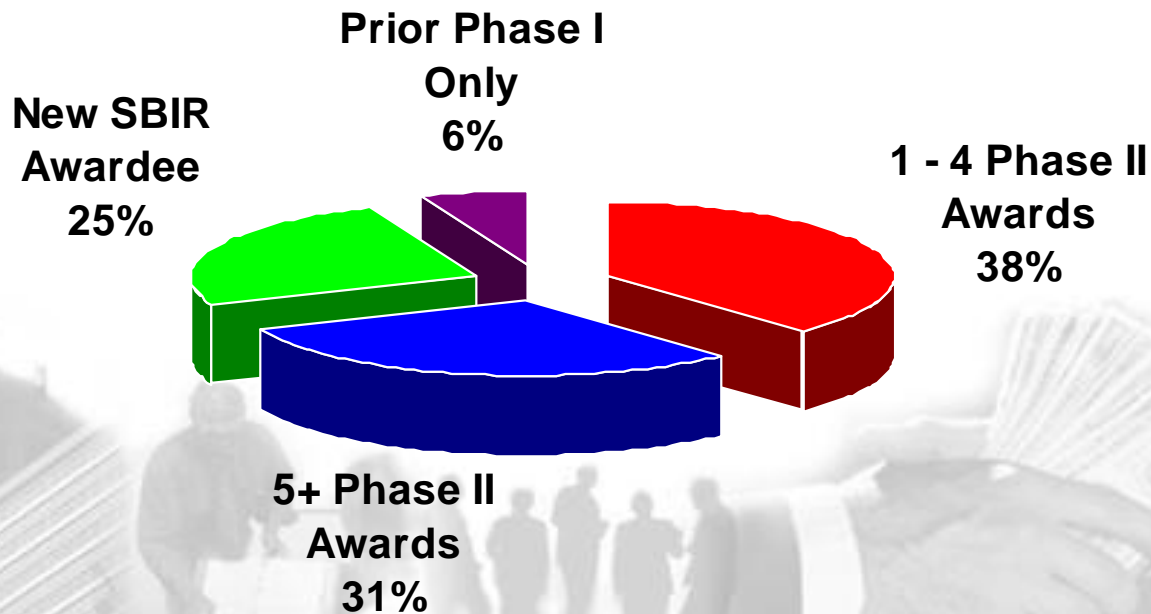




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## Entry to Federal R&D Funds

- **25% of Phase I Awardees are First-Time DoD Winners**
- **Even non-"First-Timers" are relatively new to the Program with only a few prior Phase II Awards:**

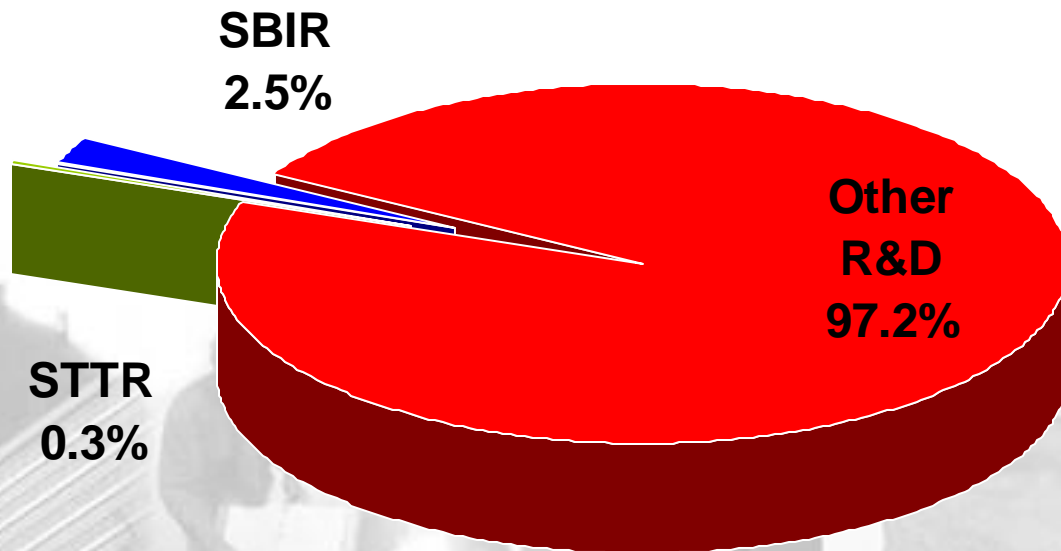




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## **SBIR and STTR: Small Piece of the R&D Pie**

**SBIR and STTR are a small percentage of the total extramural R&D program, but it's where small businesses are able to demonstrate their capability to meet federal R&D needs.**



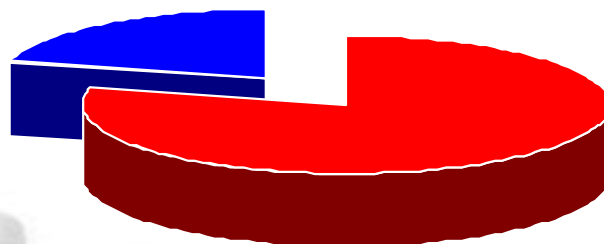


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## Significant Minority/Disadvantaged Firm Participation

**The SBIR/STTR Program Reaches Out to Socially and Economically Disadvantaged Firms**

Minority/Woman-owned  
21%



Other Firms  
79%





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## SBIR/STTR Evaluation Criteria

- **Soundness, technical merit, and innovation of proposed approach and its incremental progress toward topic or subtopic solution**
- **Qualifications of the firm and team to perform R&D and commercialize results**
- **Potential for commercialization**







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## **The Future of the SBIR/STTR Programs**

**PL 106-554 extends SBIR program to 30 September 2008**

- Clarifies retention of data rights
- Commercialization plan required with Phase II proposals
- National Academy of Sciences study of the SBIR Program

**PL 110-235 extension of SBIR authority through March 20, 2009**

- DUSD (Acquisition & Technology) emphasized in a September 24, 2008 memorandum that this requires funds be set aside in accordance with statutory requirements to support new and ongoing program contracts
- 

**PL 107-50 extends STTR program to 2009**

- Beginning in 2004, doubles the STTR percentage and increases Phase II awards to \$750k



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# DoD SBIR/STTR Annual Solicitation

	Solicitation Internet Release *	Proposals Accepted Starting **	Proposal Deadline	Contracts Awarded ***
SBIR FY09.1	12 Nov 2008	8 Dec 2008	14 Jan 2009	Approx. 15 May 09
SBIR FY09.2	20 Apr 2009	18 May 2009	17 Jun 2009	Approx. 15 Oct 09
SBIR FY09.3	27 Jul 2009	24 Aug 2009	23 Sep 2009	Approx. 15 Jan 10
STTR FY09.A	27 Jan 2009	24 Feb 2009	25 Mar 2009	Approx. 15 Jul 09
STTR FY09.B	27 Jul 2009	24 Aug 2009	23 Sep 2009	Approx. 15 Jan 10

*Notes: \* Pre-Release Date; \*\* formal solicitation date; \*\*\*4 months from proposal receipt  
Proposals due by 6:00am, Eastern Time on proposal deadline (closing date)  
All dates subject to change; check for any updates at <http://www.dodsbir.net>*





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## **DoD Annual SBIR/STTR Solicitations: Current Solicitation**

### **KEY MILESTONE DATES: DoD 2009.1**

- **Nov 12, 2008:** Solicitation issued for public release
- **Dec 8, 2008:** DoD begins accepting proposals
- **Jan 14, 2009:** Deadline for electronic receipt of proposals by **6:00 a.m. ET**

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### **PARTICIPATING DoD COMPONENTS**

- |             |         |
|-------------|---------|
| - ARMY      | - SOCOM |
| - NAVY      | - CBD   |
| - AIR FORCE | - OSD   |



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## DoD SBIR Technology Areas

- Air Platforms
- Battlespace Environments
- Chemical & Biological Defense
- Weapons
- Human Systems
- Materials & Processes
- Information Systems Technology
- Space Platforms Technology
- Biomedical
- Sensors, Electronics & Electronic Warfare
- Nuclear Technology
- Ground and Sea Vehicles Technology





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## **DoD SBIR/STTR is “User Friendly”**

- **Solicitation topics are available online during the Pre-Solicitation period**
- **Open discussion with topic authors during Pre-Solicitation**
- **SITIS Q&A site during solicitation**
- **Quick award process**
  - **Phase I decisions made in 4 months**
  - **Phase II decisions in 6 months**
- **Help Desk**
- **Electronic Proposal Submission**



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## **DoD Annual SBIR/STTR Solicitations: Your Next Steps**

- Review the Topics in the current solicitation from all participating components at: [www.dodsbir.net/solicitation/](http://www.dodsbir.net/solicitation/)
- Perform a Key Word search
- Contact the Topic Author
- Read the Instructions
- Register your firm & submit proposals at: [www.dodsbir.net/submission/](http://www.dodsbir.net/submission/)
- Good Luck!



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## How To Participate

- General questions? Call the DoD SBIR/STTR **Help Desk** @ **866-SBIRHLP (724-7457)**
- Questions about a solicitation topic? Contact the topic author listed with the topic during the pre-release period or via SITIS @ [www.dodsbir.net/sitis/](http://www.dodsbir.net/sitis/)
- Subscribe to the Listserv @ [www.dodsbir.net/](http://www.dodsbir.net/) to receive program notices and updates





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## DoD SBIR/STTR Internet Resources

Homepage: [www.acq.osd.mil/osbp/sbir/](http://www.acq.osd.mil/osbp/sbir/)

- Program overview, solicitations, sample proposals, and more

Proposal Submission: [www.dodsbir.net/submission/](http://www.dodsbir.net/submission/)

- Prepare & submit proposal coversheets, commercialization report, update phase II projects

Topic Questions: [www.dodsbir.net/sitis/](http://www.dodsbir.net/sitis/)

- Obtain technical clarification regarding current solicitation topics

Topic Search: [www.dodsbir.net/topics/](http://www.dodsbir.net/topics/)

- Search current solicitation topics by topic number or keyword

Awards Search: [www.dodsbir.net/awards/](http://www.dodsbir.net/awards/)

- Searchable database of SBIR & STTR phase I & II awards from FY83-FY08







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## DoD Components – Website Homepages

### Component

### Agency SBIR Website

Air Force

<http://www.sbirstrmall.com>

Army

<http://www.armysbir.com>

Navy

<http://www.navysbir.com>

CBD

<http://www.cbdsbir.com>

DARPA

<http://www.darpa.mil/sbir/index.html>

DLA

<http://www.dla.mil/default.aspx>

(note: Agency homepage)

DMEA

<http://www.dmea.osd.mil/home.html>

(note: Agency homepage)

DTRA

[http://www.dtra.mil/be/business\\_opp/procurement/acq\\_sbir.cfm](http://www.dtra.mil/be/business_opp/procurement/acq_sbir.cfm)

MDA

<http://www.winmda.com/>

NGA

<http://www1.nga.mil/About/WorkingWithUs/ResearchGrants/SBIR/Pages/default.aspx>

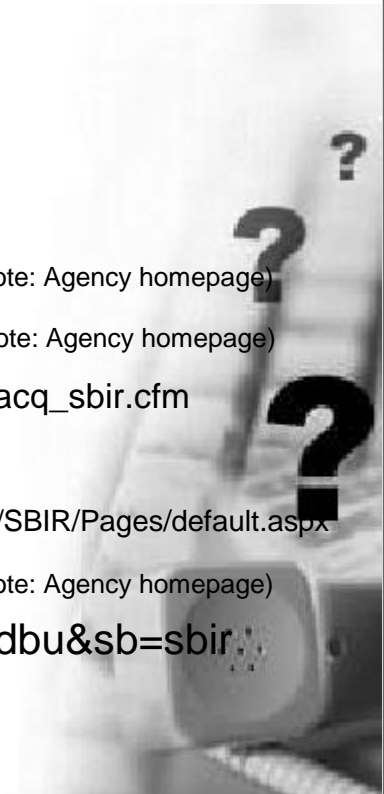
OSD

<http://www.defenselink.mil/osd/>

(note: Agency homepage)

SOCOM

<http://soal.socom.mil/index.cfm?page=sadbu&sb=sbir>





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## DoD Components – SBIR Points of Contact

<u>Component</u>	<u>Program Manager</u>	<u>e-mail</u>
<b>Air Force</b>	<b>Steve Guilfoos</b>	<b><a href="mailto:stephen.guilfoos@wpafb.af.mil">stephen.guilfoos@wpafb.af.mil</a></b>
<b>Army</b>	<b>Chris Rinaldi</b>	<b><a href="mailto:christopher.rinaldi@us.army.mil">christopher.rinaldi@us.army.mil</a></b>
<b>Navy</b>	<b>John Williams</b>	<b><a href="mailto:williajr@onr.mil">williajr@onr.mil</a></b>
<b>CBD</b>	<b>Larry Pollack</b>	<b><a href="mailto:larry.pollack@dtra.mil">larry.pollack@dtra.mil</a></b>
<b>DARPA</b>	<b>Susan Nichols</b>	<b><a href="mailto:susan.nichols@darpa.mil">susan.nichols@darpa.mil</a></b>
<b>DLA</b>	<b>Dan Gearing</b>	<b><a href="mailto:daniel.gearing@dla.mil">daniel.gearing@dla.mil</a></b>





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## DoD Components – SBIR Points of Contact

<u>Component</u>	<u>Program Manager</u>	<u>e-mail</u>
<b>DMEA</b>	<b>Jim Dininger</b>	<b>dininger@dmea.osd.mil</b>
<b>DTRA</b>	<b>Darian Cochran</b>	<b>darian.cochran@dtra.mil</b>
<b>MDA</b>	<b>Mike Zammit</b>	<b>michael.zammit@mda.mil</b>
<b>NGA</b>	<b>Kim Walls</b>	<b>kimberly.t.walls@nga.mil</b>
<b>OSD</b>	<b>Teresa Puretz</b>	<b>teresa.puretz@osd.mil</b>
<b>SOCOM</b>	<b>Shawn Martin</b>	<b>shawn.martin@socom.mil</b>





**DoD's SBIR & STTR  
PROGRAMS**

**FOR MORE INFORMATION**

**Call  
866-724-7457**

**OR**

**Visit  
[www.dodsbir.net](http://www.dodsbir.net)**